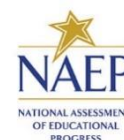# NAEP 2019–2020 LTT 17 Instructions for Preparing and Submitting an Electronic File of Students (Six Columns Race/Ethnicity)

NAEP needs a complete list of students in the selected age group(s) at your school in order to draw a random sample of students to participate in the assessment. Your student data electronic file (E-File) must be submitted as a Microsoft Excel file.

We recommend that you create your student file using the NAEP E-File Excel Template, which is available on the MyNAEP website's "Submit Student List" page. If necessary, you may alternatively provide an Excel file with the same column headers and data in a different order. If you cannot submit your student data in an Excel file, call the NAEP help desk at **1-800-283-6237**.

Step 1 – The E-Filing Template

Download and review the E-Filing Template. Note the column headers (fields) that must be included in your student list. If you do not have data for a particular field, you may leave the column blank.

A	B	C	D	E	F	G	H	I	J	K	L	M	N	O	P	Q	R	S
Unique Student ID	Student First Name	Student Middle Name	Student Last Name	Grade	Homeroom or Other Locator	Month of Birth	Year of Birth	Sex	Student with a Disability	English Language Learner	Ethnicity (Hispanic or Non-Hispanic)	White	Black or African American	Asian	American Indian or AK Native	Native Hawaiian or Pac Islander	On-Break Indicator	Student ZIP code

Step 2 – Compile Data for the Template

Prepare and submit a separate Excel file of all students in your school with birthdates between **October 1, 2002** and **September 30, 2003**. Students may be in any grade, however, we expect most of the students to be in the following grades: **9**, **10**, **11**, and **12**.

- Include in the file data for **all students in the age group**, even those students who typically may be excluded from other testing programs, such as students with IEPs (SD) and English language learners (ELL). Make sure there are no duplicate students in your file.

- Also include students in the age group who were displaced from other locations due to hurricanes and other disasters.

- If this is a year-round school,[1] include students who will be on break/on vacation on the scheduled assessment day along with all of the other students in the sampled age group. The NAEP E-File Excel Template contains an "On Break" column you will use to identify those students who will be on break/on

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[1] In year-round schools, students attend classes throughout the 12 calendar months unlike traditional schools that follow the 9-month calendar. However, at any one time during the year a percentage (e.g., 25 percent) of the students will be on break or on vacation.

vacation by filling in "Yes." (If you are not using the template, be sure to create and provide data for an "On Break" column in your file.)

Your Excel file must contain the following data:

Excel Header/ Field Name	NAEP Values	Comments
State unique Student ID	N/A	If available; do not use the student's Social Security number
Student First Name	N/A	Text; must be in its own column
Student Middle Name	N/A	Text; Middle Name is optional, but the column must be included in the Excel file
Student Last Name	N/A	Text; must be in its own column
Grade in School	Any	Use current year data
Homeroom or other Locator	N/A	If available; locator information is helpful in finding students and notifying them of the assessment
Month of Birth	M or MM (numeric format)	Numeric format; must be in its own column
Year of Birth	YYYY (numeric format) The expected ranges for Year of Birth are listed below: 2002–2003	Numeric format; must be in its own column
Sex	School-defined codes	Codes (numeric or text) for Male/Female
Ethnicity (Hispanic or not)	School-defined codes for: • *Yes, Hispanic*: A person of Mexican, Puerto Rican, Cuban, Central or South American, or other Spanish (but not Portuguese) culture of origin, regardless of race • *No, Not Hispanic* • *Information unavailable at this time:* If you currently do not have this information for one or more students, blank cells or an indicator such as "N/A" (Not Available) in the cell(s) can be mapped to this code to notify your NAEP representative of the need to collect the data at a later date.	Indicate all Race/Ethnicity categories that apply for each student, text or numeric
Race: White	• *Yes, White*: A person having origins in any of the original peoples of Europe, North Africa, or the Middle East • *No, not White* • *Information unavailable at this time:* If you currently do not have this information for one or more students, blank cells or an indicator such as "N/A" (Not Available) in the cell(s) can be mapped to this code to notify your NAEP representative of the need to collect the data at a later date.	Indicate all Race/Ethnicity categories that apply for each student, text or numeric
Race: Black or African American	• *Yes, Black:* A person having origins in any of the Black peoples of Africa • *No, not Black* • *Information unavailable at this time:* If you currently do not have this information for one or more students, blank cells or an indicator such as "N/A" (Not Available) in the cell(s) can be mapped to this code to notify your NAEP representative of the need to collect the data at a later date.	Indicate all Race/Ethnicity categories that apply for each student, text or numeric

Excel Header/ Field Name	NAEP Values	Comments
Race: Asian	• **_Yes, Asian:_** A person having origins in any of the original peoples of the Far East, Southeast Asia, the Indian Subcontinent, including, for example, Cambodia, China, Japan, India, Korea, Malaysia, Pakistan, the Philippine Islands, Thailand, and Vietnam • **_No, not Asian_** • **_Information unavailable at this time_**: If you currently do not have this information for one or more students, blank cells or an indicator such as "N/A" (Not Available) in the cell(s) can be mapped to this code to notify your NAEP representative of the need to collect the data at a later date.	Indicate all Race/Ethnicity categories that apply for each student, text or numeric
Race: American Indian or Alaska Native	• **_Yes, American Indian or Alaska Native:_** A person having origins in any of the original peoples of North and South America (including Central America), and who maintains tribal affiliation or community attachment • **_No, not American Indian or Alaska Native_** • **_Information unavailable at this time_**: If you currently do not have this information for one or more students, blank cells or an indicator such as "N/A" (Not Available) in the cell(s) can be mapped to this code to notify your NAEP representative of the need to collect the data at a later date.	Indicate all Race/Ethnicity categories that apply for each student, text or numeric
Race: Native Hawaiian or Pacific Islander	• **_Yes, Native Hawaiian or Pacific Islander:_** A person having origins in any of the original people of Hawaii, Guam, Samoa or other Pacific Islands • **_No, not Native Hawaiian or Pacific Islander_** • **_Information unavailable at this time_**: If you currently do not have this information for one or more students, blank cells or an indicator such as "N/A" (Not Available) in the cell(s) can be mapped to this code to notify your NAEP representative of the need to collect the data at a later date.	Indicate all Race/Ethnicity categories that apply for each student, text or numeric
Students with Disabilities (SD)	School-defined codes for: • **_Yes, IEP:_** Student has a formal Individualized Education Program (IEP), the student's IEP is in progress, or the student has an equivalent classification for private schools. If some students have both an IEP and a 504 Plan, code these students as "Yes, IEP." • **_No, not SD_**: Student does not have an IEP. If students have a 504 Plan without an IEP, code these students as "No, not SD." • **_Information unavailable at this time_**: If you currently do not have this information for one or more students, blank cells or an indicator such as "N/A" (Not Available) in the cell(s) can be mapped to this code to notify your NAEP representative of the need to collect the data at a later date.	Use **ONE** code per student, text or numeric
English Language Learner (ELL)	School-defined codes for: • **_Yes, ELL_** • **_No, Not ELL_** • **_No, Formerly ELL:_** If a student has achieved full English proficiency within the previous 2 years <u>and</u> the state includes formerly ELL students in its accountability reports, the student should be coded as "No, formerly ELL." Public schools, contact your NAEP State Coordinator if you have any questions about using this code. • **_Information unavailable at this time_**: If you currently do not have this information for one or more students, blank cells or an indicator such as "N/A" (Not Available) in the cell(s) can be mapped to this code to notify your NAEP representative of the need to collect the data at a later date.	Use **ONE** code per student, text or numeric

Excel Header/ Field Name	NAEP Values	Comments
On-Break Indicator	School-defined code	Only for year-round schools; column can be left off if school is not year-round
Student ZIP Code	Numeric only	If available; format can be 5 digits or 5 plus 4

Tips for ensuring the E-File process goes smoothly:

- The NAEP E-File template should be used if possible. **Please use it as is**. Do not change the column headers. Student information must begin on the second row. There should be no empty rows between the headings and the student data or within the student data, and no headings within the data.

- If you are not able to use the NAEP E-File Excel Template (for example, because of the way your data system works), the columns in your Excel E-File should have the same, or similar, names but do not have to be in any particular order. You will be able to identify the contents of each column after you have submitted your file. (For example, you will be able to indicate that your column labeled "Gender" is what provides the NAEP "Sex" information, and your value of "1" is "Male" and a "2" is "Female," or whatever the correct interpretation.)

- Be sure to give your file a unique, descriptive name. Select "File," then "Save As," and give it a name such as "Your School Name Age 17.xls." Should you need to reference your file again, this will help you locate it after E-Filing.

- The first row of data in your file will be read as the column header unless you indicate otherwise on the E-Filing "Welcome" page. Each succeeding row will be considered a student record.

- If you merge or cut and paste data from another Excel file into the template, review the file afterward to be sure there are properly aligned student data in every row and there are no column headers or blank rows in the middle of the data.

- Be sure that your file contains only a heading row and student data, not notes or text in additional columns, or they will be read as data resulting in a warning or error message.

- There should be only one worksheet with data in the Excel file. If there are other worksheets, they must not contain any data.

Step 3 – E-File

Once your file is prepared and checked for accuracy and completeness, log into the MyNAEP website and select "Submit Student List" from the left-hand menu.

- Select the "Start E-Filing Age 17" button.

- You will see a checklist on the next screen; please review it carefully to be sure your file is set up correctly and is ready to be submitted. Then select "Continue."

- Enter the required fields and then browse for the name of your file and select "Upload."

Step 4 – Map Your Columns and Rows to NAEP Values

The field names used by your database system may not have the same names as the NAEP values. You will need to match the names of your columns to the names of the NAEP columns and then match row values to NAEP values.

Shown below is an example of row mapping. You need to match the values in each of your columns to the NAEP codes (in drop-down). Once you map a value, select "Next" to move to the next value.

Step 5 – Review Warnings and Verify Data

When you finish row mapping, the E-Filing process will continue and a series of E-File checks will be run. These checks may produce warnings that you will need to review. If you find there are problems with your data, you can return to any mapping page to make any necessary changes. If your data are incorrect, you can choose "Start Over" and resubmit a new corrected file. If your data are correct, select "Continue" to move to the next screen.

Submit Student List

E-File Data Checks

Age-ineligible students were removed from the file you submitted. The warnings below apply to age-eligible students only.
The following data you submitted has been checked again against the 2017-2018 Common Core of Data (CCD) for your school. The CCD, a program of the National Center for Education Statistics, is a comprehensive annual, national statistical database of information concerning all public elementary and secondary schools and school districts. The following data you submitted has also been checked against your historical data (if available) for your school.

Below are discrepancies found between the information in your data file, and the information in the CCD and historical records for your school. Please review each warning message and do one of the following:

- *Review and modify the data in question. This could mean either correcting the mapping of your values to NAEP's values, or correcting your Excel file and uploading the file again.*

- *If the data from your file is correct as is, continue with the data checks process.*

Enrollment and Date of Birth
- The number of students on the file you submitted differs from our frame data by more than 100%.

Are your data correct? If you are satisfied with the information in your data file, click Continue.

If there is an error in your data file, click Start Over, correct this information in your Excel file, and upload the file again.

Race
- Excluding those students classified as "School does not collect this information" and "Information unavailable at this time", the racial/ethnic categories in the uploaded e-file differ significantly from those in our CCD. The percentages of the following race/ethnicity categories on the file you submitted differ from the frame by more than 10%.

  White, not Hispanic, E-File= 41.6%, Frame= 62.6%

Are your data correct? If you are satisfied with the information in your data file, click Continue.

*If you would like to change how you matched your race/ethnicity codes to NAEP values, click **here to return to the linking page**.*

If there is an error in your data file, click Start Over, correct this information in your Excel file, and upload the file again.

[Start Over] [Continue] [Exit]

The next screen will show you a table that summarizes the data in your file. If you verify your data as correct, you need to select "Information is Correct" and then "Submit."

If your data are incorrect, you should select "Information is Incorrect" or select "Back" and then "Start Over" to submit a new list.

Submit Student List

E-File Step 4: Verify Your E-File

The table below summarizes the information you have provided on your student list. Please review this summary and verify that the information is correct and that the total enrollment figure at the bottom of the table accurately represents the number of students on your student list.

Record whether the information is correct or incorrect by clicking the appropriate button at the bottom of the page. Then click the "Submit" button.

1. Students who are not Hispanic and identify with more than one race category are classified as **Two or more races, not Hispanic.**
2. Students whose ethnicity is Hispanic, regardless of race, are classified as **Hispanic, of any race**.

	Age 17 Students	
	Number	Percentage
Grade		
Grade 11	194	79.84%
Grade 12	49	20.16%
Sex		
Male	125	51.44%
Female	118	48.56%
Student with a Disability		
Yes, IEP	24	9.88%
No, not SD	216	88.89%
Information unavailable at this time	3	1.23%
NAEP Race/Ethnicity		
White, not Hispanic	101	41.56%
Black or African American, not Hispanic	36	14.81%
Hispanic, of any race	75	30.86%
Asian, not Hispanic	18	7.41%
American Indian or Alaska Native, not Hispanic	1	0.41%
Native Hawaiian or Pacific Islander, not Hispanic	3	1.23%
Two or More Races (not Hispanic)	9	3.7%
NAEP English Language Learner		
Yes, ELL	9	3.7%
No, not ELL	226	93%
No, Formerly ELL	8	3.29%
Total Enrollment:	243	

○ Information is **CORRECT**. To the best of my knowledge and understanding, the data are **Current** (based on 2019 - 2020 enrollment), **Complete** (includes all enrolled students), and **Accurate**.
○ Information is **INCORRECT**.

[Exit]   [Back]   [Print]   [Submit]

If you need assistance, call the NAEP help desk at 1-800-283-6237.